



U.S. Department of the Interior
"To-Be" Trust Business Model
Process Template

Title: Monitor Management Units

Identify the process in the "Verb Noun" format. (Ex: Maintain Ownership)

Process Number
UM.4.1

1. Process Definition *Provide an overview of the process and define its starting and ending points*

1.1 Starts With	The approval of land use contracts or the approval of Management Units.
1.2 Process Overview	<p>Management Units are regularly monitored to ensure that use is consistent with contract requirements and to assure the government's fiduciary responsibility to the Indian landowner(s) is being met. Compliance inspections are conducted on a regular basis depending on the lease term, the complexity of the lease and the type of lease. On occasion, an interested party may advise that certain stipulations of a lease are not in compliance and a non-routine inspection occurs.</p> <p>Management Units that are leased are also monitored for financial compliance. Financial reports are received and reviewed. Necessary action is taken to resolve delinquent payments, initiate collection notices or cancel a lease.</p>
1.3 Stops With	Complete Management Unit inspection report.

2. Trust Business Objectives *Identify the Comprehensive Trust Model strategic goals and business objectives to which this process contributes.*

Goal/Objective
GOAL 4: LAND AND NATURAL RESOURCES MANAGEMENT THAT MAXIMIZES RETURN WHILE MEETING BENEFICIARY DESIRES
OBJECTIVE 4.1: LAND AND NATURAL RESOURCE ASSET PLANS AND STEWARDSHIP STRATEGIES - Develop land and natural resource asset plans and stewardship strategies.
OBJECTIVE 4.2: PRESERVATION AND PROTECTION OF LAND AND NATURAL RESOURCE ASSETS - Preserve and protect the long-term viability of land and natural resource assets consistent with fiduciary duties and with the beneficiaries' intended use of the assets.
OBJECTIVE 4.3: LAND AND NATURAL RESOURCE ASSET BUSINESS MANAGEMENT Manage land and natural resource assets effectively and proactively to obtain

3. How should Beneficiaries be involved in this process?

Beneficiary Involvement
A beneficiary may monitor and report land and natural resource use.



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4. Organizations, Offices and Roles. Identify the DOI organizations and related roles that should be involved in performing the process.

4.1 DOI Organizations. Identify the DOI organizations, offices and individual roles that contribute to this process.

DOI organizations include the Office of the Secretary, BIA, OST, BLM, MMS, OHA, OSM among others.

Offices include Central Offices, Regional Offices, Agency(Field) Offices, etc.

All individual roles that contribute, in a significant manner, should be identified.

Organization		Role	Contribution
BIA	Agency		<p>Perform onsite agricultural lease monitoring and record data gathered on inspection form. Inspections may include insuring that cropping is occurring as planned and stipulated requirements such weed control are implemented.</p> <p>Perform onsite range inspections and record data gathered.</p> <p>Monitor commercial forests and woodlands for trespass and changes in resource conditions.</p> <p>Perform gauging of oil tanks at pump sites to determine periodic production and prepare run tickets. Inspect the wells at the time of lease expiration to determine if wells are plugged in accordance with lease terms and site is properly reclaimed.</p> <p>Inspect ROWs for erosion.</p>
BLM	State office		<p>Provide lease inspections on a regularly scheduled basis.</p>
OST	National Office`		<p>Provide reports and data to BIA for late payment and other financial follow up.</p>
Compacted or Contracted Tribe	Tribal Program Office		<p>Perform all DOI functions except those considered inherently federal.</p>



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4.2 External Organizations. *Identify the non-DOI organizations that support the execution of or contribute to this process.*

External Organization	Contribution
EPA	Conduct environmental inspections for spills, NPDS, UIC air pollution

5. Event(s) *Identify the events or conditions that start the process. Describe each event and indicate the frequency (daily, monthly, quarterly, etc.) in which each event is expected to occur. An event may be an external interaction (a beneficiary submits an application), the expiration of a period of time (a lease is due to expire in 90 days), or the realization of some pre-defined threshold (an IIM account reaches the automatic disbursement threshold).*

Event	Description	Estimated Frequency
Ag- Scheduled or planned monitoring	Wide area use plans shall detail the frequency and intensity of monitoring of use agreements and non-leased lands	All agricultural leases are monitored once a year.
Ag- Reports of possible non-compliance	Reports of possible non-compliance or trespass are received by servicing office	All reports are investigated.
Range - Scheduled or planned monitoring	Wide-area use plans shall detail the frequency and intensity of monitoring of use agreements and non-leased lands	All range units will be inspected three times per year.
Range - Reports of possible non-compliance	Reports of possible non-compliance or trespass are received by servicing office	All reports are investigated.
BLM - Oil and Gas inspection schedule	BLM establishes a strict schedule for lease monitoring	
BIA - Oil and Gas monitoring schedule	BIA program staff will conduct inspection of well site and determine production of oil and gas and record run ticket	
Forest sale activity	Forestry sale will incur many land disturbance activities that need to be monitored such as tree removal to the establishment of haul roads etc.	
Forest trespass	A report of a forestry trespass that may include the unauthorized taking of forestry products.	



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6. Inputs and Outputs. *Identify and describe all inputs and outputs related to this process. Inputs are information or materials used during the execution of the process; outputs are materials or information produced by the process.*

6.1 Inputs

Input	Description
Wide-area and Management Unit plans	Plans describe how the lands are to be managed and for what purpose.
Land use contract terms and conditions	Specific agreement requirements for the use.
Agricultural lease	Ag lease terms and stipulations.
Range permit	Range permit terms and stipulations.
Oil and gas lease	Provides for the terms and conditions of the lease.
Forest management plan	Provides for a high level requirements for the forestry monitoring.

6.2 Outputs

Output	Description
Monitoring report	From monitoring activities, information is gathered from onsite inspections of the land resource or use activity.
Ag - Monitoring report	From monitoring activities, information is gathered from onsite inspections of the ag land resource such as cropping, stock counts, weed control, erosion control measures and improvements.
Range - Monitoring report	From monitoring activities, information is gathered from onsite inspections of the grazing unit such as stock counts, brands, cross fencing and weed control.
Oil run tickets	Provides for the production of oil based on the measurement of the oil storage tank at the well site.
Forestry monitoring report	From monitoring activities, information is gathered from onsite inspections of the forest or woodlands to determine current activity is in compliance with sale and non-sale plans.
Incidences of Noncompliance (INC)	BLM issues INC's in accordance to 43 CFR 3163.



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7. Fiduciary and Legal Obligations and Controls

7.1 Obligations

Identify and describe the legal and fiduciary obligations that impact this process. For each obligation, indicate the document or commitment that defines the obligation and the citation (paragraph or section) within the document that pertains to this process.

Obligation	Source	Business Impact
See attached Schedule 1		

7.2 Controls

Identify and describe any controls (enforcement mechanisms) that may be used to ensure that the process adheres to obligations and internal process requirements. Controls may be reviews, audits, segregated duties, etc. Indicate the reason that each control should be introduced (name the obligation that a control is intended to enforce; indicate any controls required to ensure consistency or reliability).

Control	Reason	Description
BIA Leasing Procedure Handbook	Internal control	
BIA Range Handbook	Internal control	
BIA Forestry Handbook	Internal control	
BIA Forestry Inter-Agency Handbook	Internal control	
MMS/MRM Release 1.0 Minerals Revenue Management	Internal control	

8. Mechanisms (Systems of Record)

Identify the mechanisms, or systems, that are needed to support the process (ex: Ownership, Leasing, Workflow Management, Office Filing System, etc.). Indicate the information and activities, relevant to this process, that each system supports.

System Name	Support
Land/lease reporting system	Recording of monitoring information and workflow tool for report routing
MMS royalty system	



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9. Inter-Process Relationships *Identify other trust processes that are related to this process (either predecessors or successors). If applicable, indicate the condition under which the processes are related.*

9.1 Predecessors. *Predecessors are processes that either produce information required by this process or that result in the need to execute this process.*

Process No.	Name	Condition of Relationship
UM.2.6	Approve Lands Use Contracts	Finalized Land Use Contracts provide for terms and conditions that require monitoring for contract compliance
B.2.4	Transfer Inquiry / Request to Appropriate Office	Transfer request to investigate a complaint, such as a trespass on trust lands.
FO.1.3	Reconcile Exceptions and Produce Report	Receive exception report indicating receipts that cannot be posted and help to resolve. Receive deficiency report indicating late payments or underpayment receipts and help to resolve.
FO.1.4	Impose Penalties and Generate Notices	Authorize a 10-day show cause notice to be sent to a delinquent or deficient payor. Enforce financial land use contract compliance.
FO.3.3	Reconcile Pre-Disbursement Exceptions	Receive pre-disbursement exception report and help to resolve.
FO.3.6	Reconcile Deficiencies	Receive disbursement report and help to resolve rejections.
FO.5	Reporting and Statements	Reports and statements are available for land use monitoring.

9.2 Successors. *Successors are processes that either use information produced by this process or that must be executed as a result of performing this process.*

Process No.	Name	Condition of Relationship
UM.4.3	Assess Management Unit Use	Monitoring reports will be reviewed for determination of compliance with terms and conditions or



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Process No.	Name	Condition of Relationship
UM.4.2	Document Owner or Special Use	Identification of non-contract use or historical use without contract or permit.

10. Comments *Summarize any discussion, problems, issues or recommendations that should be considered when reviewing process performance. Category Values (Note, Best Practice, Decision, Problem, Issue, Recommendation)*

Category	Comment
Ag - Recommendation	All agricultural leases for annual crops are monitored twice per year providing sufficient resources are available.
Ag- Recommendation	All agricultural leases are scheduled to begin at the same time of the year.
Range - recommendation	All range units will be inspected three times per year providing sufficient resources are available.
Mineral – Recommendation	All on-site productions inspections verification will be performed at least once every three years and more frequent if problems are noted.